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01/12/00  
jc490 U.S. PTO

Att'y Dkt. No. 082380-00339

☐ DESIGN ☒ UTILITY PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

jc525 U.S. PTO  
09/481351  
01/12/00

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): David R. Payne, Gerald A. Stangl, Norman E. Stevens, Jr. and  
Michael F. Gard

**WARNING:** Patent must be applied for in the name(s) of all of the actual inventor(s). 37 CFR 1.41(a) and 1.53(b).

For (title): SYSTEM AND METHOD FOR AUTOMATICALLY DRILLING AND  
BACKREAMING A HORIZONTAL BORE UNDERGROUND

1. Type of Application

This new application is for a(n) (check one applicable item below):

- ☒ Original  
☐ Design  
☐ Plant

**WARNING:** Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. 371(c)(4) unless the International Application is being filed as a divisional, continuation or continuation-in-part application.

**NOTE:** If one of the following 3 items apply, then complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and a NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION.

- ☐ Divisional.  
☐ Continuation.  
☐ Continuation-in-part (C-I-P).


CERTIFICATION UNDER 37 CFR 1.10

EXPRESS MAIL NO. EL452665041US

DATE OF DEPOSIT January 12, 2000

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

Theresa D. Snider  
Name of Depositor

  
Signature

January 12, 2000  
Date

**2. Benefit of Prior U.S. Application(s) (35 U.S.C. 120)**

*NOTE: If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.*

- ☐ The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

**3. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Regular) or 37 CFR 1.153 (Design) Application**

37 Pages of specification  
11 Pages of claims  
1 Pages of Abstract  
19 Sheets of drawing

- ☐ formal  
☒ informal

**WARNING:** *DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. Comments on proposed new 37 C.F.R. 1.84. Notice of March 9, 1988 (1990 O.G. 57-62).*

**NOTE:** *"Identifying indicia, if provided, should include the application number or the title of the invention, inventor's name, docket number (if any), and the name and telephone number of a person to call if the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawing a minimum distance of 1.5 cm. (5/8 inch) down from the top of the page." 37 C.F.R. 1.84(c).*

(complete the following, if applicable)

- ☐ The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. 1.84(b).

4. **Additional papers enclosed**

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement (37 CFR 1.98)
- ☐ Form PTO-1449 (Modified) and \_\_\_\_ cited references
- ☐ Citations
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
- ☐ Authorization of Attorney(s) to Accept and Follow Instructions from Representative
- ☐ Special Comments
- ☒ Pre-addressed postcard
- ☐ Power of Attorney by Assignee of Entire Interest and Certificate of Assignee under 37 C.F.R. 3.73(b)
- ☐ Other

5. **Declaration or oath**

- ☐ Enclosed

executed by *(check all applicable boxes)*

- ☐ inventor(s).
- ☐ legal representative of inventor(s). 37 CFR 1.42 or 1.43
- ☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
- ☐ this is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. *See item 13 below for fee.*

- ☒ Not Enclosed

**WARNING:** *Where the filing is a completion in the U.S. of an International Application, but where a declaration is not available or where the completion of the U.S. application contains subject matter in addition to the International Application, the application may be treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.*

- ☒ Application is made by a person authorized under 37 CFR 1.41(c) on behalf of *all the above-named inventor(s)*. (The declaration or oath, along with the surcharge required by 37 CFR 1.16(e), can be filed subsequently.)

**NOTE:** *It is important that all the correct inventor(s) are named for filing under 37 CFR 1.41(c) and 1.53(b).*

## 6. Inventorship Statement

**WARNING:** If the named inventors are each not the inventors of all the claims, an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.

The inventorship for all the claims in this application is:

- ☒ the same  
or  
☐ not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,  
☐ is submitted.  
☐ will be submitted.

## 7. Assignment

- ☒ An assignment of the invention to The Charles Machine Works, Inc.  
☐ is attached.  
☐ A separate "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or  
☐ FORM PTO 1595 is also attached.  
☒ will follow.

## 8. Fee Calculation (37 CFR 1.16)

- A. ☒ Regular application

CLAIMS AS FILED					
	Number Filed		Number Extra	Rate	Basic Fee (37 CFR 1.16 (a)) \$ 690.00
Total Claims (37 CFR 1.16(c))		- 20=	x	\$ 18.00	=\$0.00
Independent Claims (37 CFR 1.16(b))		- 3=	x	\$ 78.00	=\$0.00
Multiple Dependent Claims, if any (37 CFR 1.16(d))			x	\$260.00	=\$0.00

- ☐ Amendment canceling extra claims enclosed.  
☐ Amendment deleting multiple-dependencies enclosed.  
☐ Fee for extra claims is not being paid at this time.

**NOTE:** If the fees for extra claims are not paid on filing they must be paid or the claims canceled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency. 37 CFR 1.16(d).

Filing Fee Calculation

\$ \_\_\_\_\_

B. ☐ Design application  
(\$310.00--37 CFR 1.16(f))  
Filing Fee Calculation \$ \_\_\_\_\_

C. ☐ Plant application  
(\$480.00--37 CFR 1.16(g))  
Filing Fee Calculation \$ \_\_\_\_\_

**9. Small Entity Statement(s)**

☐ Verified Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is(are) attached.  
Filing Fee Calculation (50% of A, B, or C above) \$ \_\_\_\_\_

*NOTE: Any excess of the full fee paid will be refunded if a verified statement and a refund request are filed within 2 months of the date of timely payment of a full fee. 37 CFR 1.28(a).*

**10. Fee Payment Being Made At This Time**

☒ Not Enclosed  
☒ No filing fee is to be paid at this time. *(This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.)*

☐ Enclosed

- ☐ basic filing fee \$ \_\_\_\_\_
- ☐ recording assignment  
(\$40.00; 37 CFR 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION.") \$ \_\_\_\_\_
- ☐ petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached. (\$130.00; 37 CFR 1.47 and 1.17(h)) \$ \_\_\_\_\_
- ☐ for processing an application with a specification in a non-English language.  
(\$130.00; 37 CFR 1.52(d) and 1.17(k)) \$ \_\_\_\_\_
- ☐ processing and retention fee  
(\$130.00; 37 CFR 1.53(d) and 1.21(l)) \$ \_\_\_\_\_
- ☐ fee for international-type search report  
(\$40.00; 37 CFR 1.21(e)) \$ \_\_\_\_\_

*NOTE: 37 CFR 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 CFR 1.53(d) and this, as well as the changes to 37 CFR 1.53 and 1.78, indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee must be paid or the processing and retention fee of § 1.21(l) must be paid within 1 year from notification under § 53(d).*

Total fees enclosed \$ \_\_\_\_\_

**11. Method of Payment of Fees**

- ☐ Check in the amount of \$ \_\_\_\_\_
- ☐ Charge Account No. 13-2493 in the amount of \$ \_\_\_\_\_. A duplicate of this transmittal is attached.

*NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).*

**12. Authorization to Charge Additional Fees**

**WARNING:** *If no fees are to be paid on filing the following items should not be completed.*

**WARNING:** *Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.*

- ☐ The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 13-2493.
- ☐ 37 CFR 1.16(a), (f) or (g) (filing fees)
- ☐ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)

*NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims canceled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.*

- ☐ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☐ 37 CFR 1.17 (application processing fees)

**WARNING:** *While 37 C.F.R. 1.17(a), (b), (c) and (d) deal with extensions of time under § 1.136(a), this authorization should be made only with the knowledge that: "Submission of the appropriate extension fee under 37 C.F.R. 1.136(a) is to no avail unless a request or petition for extension is filed." (Emphasis added.) Notice of November 5, 1985 (1060 O.G. 27).*

- ☐ 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))

*NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the Notice of Allowance. 37 CFR 1.311(b).*

*NOTE: 37 CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying, . . . issue fee." From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.*

13. Instructions As To Overpayment

- ☐ Credit Account No. 13-2493  
☐ Refund

☐ Incorporation by reference of added pages

*(Check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OR PRIOR U.S. APPLICATION(S) CLAIMED)*

- ☐ Plus Added Pages For New Application Transmittal Where Benefit Of Prior U.S. Application(s) Claimed

Number of pages added \_\_\_\_\_

- ☐ Plus Added Pages For Papers Referred To In Item 4 Above

Number of pages added \_\_\_\_\_

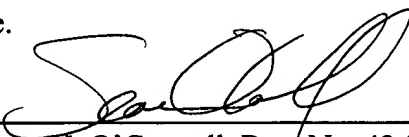
- ☐ Plus "Assignment Cover Letter Accompanying New Application"

Number of pages added \_\_\_\_\_

☒ Statement Where No Further Pages Added

*(If no further pages form a part of this Transmittal, then end this Transmittal with this page and check the following item:)*

- ☒ This transmittal ends with this page.

  
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